



 **CANADIAN  
AGRICULTURAL  
PARTNERSHIP**  
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# TRACEABILITY SELF-ASSESSMENT



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The Traceability Adoption and Traceability Value Chain programs are funded under the Canadian Agricultural Partnership (CAP), a federal-provincial-territorial initiative.

The goal of the Traceability Adoption Program is to increase the adoption of traceability systems, practices, technologies and infrastructure across the food and seafood sectors, enabling businesses to meet existing and emerging market and regulatory requirements.

## Don't know where to start?

Traceability systems are complex and it can be difficult to know where to start.

This traceability self-assessment tool will help you evaluate your traceability program and determine if and how you may need to upgrade or improve your system.

The self-assessment consists of four separate parts. Please complete only the parts that are applicable to your organization. You can skip the parts that do not apply.

## Traceability Self-Assessment Guide - Complete only the sections that apply to your type of operation

Part	Applicable to	Page
A – Producer	All primary producers	5
B – Packer / Processor	All packing and processing operations	6 - 8
C – Livestock Industry	Dairy and beef	9 - 11

## What do your results mean?

If you check off any  red boxes in this questionnaire, your traceability system may need urgent detailed review and upgrade.

If you checked off any  yellow boxes in this review, your traceability system should be reviewed for compliance gaps and opportunities for improvement.

While most questions are applicable to all agriculture, food and seafood businesses, some questions are specific to certain types of operations. If you believe a question does not apply to your particular business, select "N/A".

If after completing the self-assessment, you still aren't sure exactly what improvements to your traceability program are needed, you may want to engage the services of a certified consultant. To find a list of certified consultants, please contact us or visit our website [www.bctraceability.ca](http://www.bctraceability.ca).



## **Sending us your Self-Assessment**

Although it is not mandatory, if you have completed the self-assessment and have decided to apply for traceability funding, please include your completed self-assessment document in your application package for review.

**By Email:** [ca\\_bctraceability@pwc.com](mailto:ca_bctraceability@pwc.com)

**By Fax:** 604 806 7806  
Attn: Jen McIntyre

**By Mail:** Attn: Jen McIntyre, BC Traceability Funding Programs  
PwC LLP  
250 Howe Street, Suite 1400  
Vancouver, BC V6C 3S7

For further information or if you require assistance, please contact us at 604 484 3490 or [ca\\_bctraceability@pwc.com](mailto:ca_bctraceability@pwc.com).





## What is Traceability?

- ▶ Traceability is the ability to follow an item or a group of items – be it animal, plant, food product or ingredient – from one point in the supply chain to another. This trail can be followed in either direction: backwards or forwards.
- ▶ Traceability is a key component of food safety.
- ▶ Traceability can significantly reduce the economic, social and environmental impacts of a food safety issue such as product recall, or emergencies like a contagious disease outbreak.
- ▶ Speed and accuracy are key components of traceability.

## Is Traceability Mandatory?

- ▶ Traceability systems are required to help protect the health of animals and the general public. Each operation within the agri-food supply chain must be able to trace products **one step back and one step forward**.
- ▶ Traceability is a requirement of most food safety certifications (i.e. Global Food Safety Initiative).
- ▶ Traceability is a requirement of most identity preserved certifications (i.e. Certified Organic, Gluten Free).
- ▶ Traceability is legislated within Canada. To view requirements specific to your sector [click here](#).
- ▶ In the case of a product recall, the business that has produced, distributed, or imported the unsafe food has the primary responsibility for implementing the food recall.  
*(2013 Fall Report of the Auditor General of Canada.)*

## What are the Benefits?

- ▶ **Peace of mind.** Traceability regulations are changing in Canada. [Click here](#) to view requirements specific to your sector.
- ▶ **Retain current customers and access new markets.** Avoid being shut out of lucrative new markets or losing your existing customers to businesses that can demonstrate the value of their traceability system.
- ▶ **Preparedness in the case of a food emergency or product recall.** Having the processes and data in place to act quickly and decisively in the event of a product recall can protect your brand reputation and limit the size (and cost) of recall.
- ▶ **Avoid financial devastation & reduce legal liability.** Recent outbreaks of food illness show financial devastation to businesses and whole sectors when their reputation for providing safe food is put into question without effective traceability.
- ▶ **Improve efficiency & reduce spoilage.** Traceability systems can improve the efficiency of your operation with real time production and inventory data, and can also reduce spoilage with raw product use and rotation data.
- ▶ **Gain a competitive advantage** over suppliers not meeting traceability criteria. Capitalize on new farm to fork marketing opportunities.

## SELF-ASSESSMENT

**PART A - PRODUCER** \* must be completed by all primary agriculture, seafood or food producers or harvesters

CURRENT TRACEABILITY SYSTEM – EFFECTIVENESS	Yes	No	Not sure	N/A
Can you trace <u>back</u> all the inputs and source data (i.e. supplier, seed, root stock, pesticide, fertilizer, field, plant date, harvest date, catch date, catch location, quantity etc.) using the harvest Lot # as your tracing reference?				
Can you trace <u>forward</u> to recipients of all harvested product (i.e. harvest date, quantity, employee list, equipment, pallet / bin, ship date, ship destination, pallet / bin / tote #'s) using the harvest Lot # as your tracing reference?				
Can you trace <u>forward</u> to recipients of all product handled by a specific employee using employee ID and the date as your tracing reference?				

CURRENT TRACEABILITY SYSTEM – REVIEW	Yes	No	Not sure	N/A
Note: Essential data is Field, Date, Quantity, Employees, Machinery, and Lot # etc.				
Do you record all the essential data for all harvested food or seafood products?				
Are all harvested pallets / bins / totes labeled with a unique identifier?				
Do you record all the essential data for all supplies and materials you use during harvest?				
Do you record the staging / storage location of each harvested pallet / bin / tote?				
Do you record the shipment details of all pallets / bins / totes that you ship to the packer / processor?				
Are you able to retrieve all the essential harvest data, including usage and inventory, for any harvested Lot # within four hours?				
Are you able to retrieve all the essential growing data, including seed lot, pesticide / fertilizer used etc., for any harvested Lot # within four hours?				

If you are a producer only, you have completed the Self-Assessment. Thank you for completing the first step at improved traceability for your operation. Contact us if you have any questions.

***If you are also a packer or processor, please continue to the next page (page 6).***

***If you are in the livestock industry, please continue to page 10.***

## SELF-ASSESSMENT

### PART B - PACKER / PROCESSOR \* *must be completed by all packing and processing operations*

CURRENT TRACEABILITY SYSTEM – EFFECTIVENESS	Yes	No	Not sure	N/A
Can you trace <u>back</u> all inputs and source data (i.e. <i>field, supplier, Lot #, receiving date, and quantity etc.</i> ) using a finished product Lot # as your tracing reference?				
Can you trace <u>forward</u> to recipients of all finished product (i.e. <i>Lot #, pallet tags, ship date, quantity, recipient etc.</i> ) using a finished product Lot # as your tracing reference?				
Can you trace <u>forward</u> to recipients of all your product handled by a specific employee using employee ID and date as your tracing reference?				
Can you trace <u>back</u> to original sources and <u>forward</u> to your final recipients when the finished product is from rework, pre-mixes, or interim products?				
Can you trace all lots or batches that were produced / packed using a specific equipment and / or during a specific date range?				
Can you trace <u>forward</u> to other lots and their recipients when allergens are used in the plant?				

CURRENT TRACEABILITY SYSTEM – REVIEW	Yes	No	Not sure	N/A
<b>Incoming Food Products and Supplies</b> <i>Note: Essential data is Field, Date, Quantity, Employees, Machinery, and Lot # etc.</i>				
Do you record all the essential data for all incoming food or seafood products?				
Are all received food pallets / bins / totes labeled with unique identification?				
Do you record all the essential data for all supplies / materials you receive?				
Do you track in detail the usage of all food or seafood products you receive?				
Do you track in detail the usage of all supplies / materials you receive?				
Are you able to retrieve all the essential data, including usage and inventory, for all the received food products or supplies / materials within four hours?				

**Continue to next page.**

**PART B - PACKER / PROCESSOR** \* *must be completed by all packing and processing operations*

<b>CURRENT TRACEABILITY SYSTEM – REVIEW</b>				
<b>Packing / Transformation of Food Products</b> <i>Note: Essential data is Field, Date, Quantity, Employees, Machinery, and Lot # etc.</i>	<b>Yes</b>	<b>No</b>	<b>Not sure</b>	<b>N/A</b>
Does your current system apply labeling to raw / input products while in storage or the staging area?				
Does your current system use a Global Trade Item Number (GTIN) and lot code barcode labeling on all of the finished products that you sell?				
Do you create a unique lot or batch code for each day's production?				
Do you record the essential data for all the input food products you consume for each production batch or lot?				
Do you record the essential data for all the supplies you consume for each production batch or lot?				
Do you record all the additional details for each production batch or lot (i.e. <i>equipment used, start and stop time for the production run, employee list</i> )?				
Do you apply a scannable barcode label containing GTIN and Lot code to each carton?				
Do you apply a unique scannable barcode label to each pallet at time of production?				
Does each pallet tag include all essential information ( <i>Product Name, GTIN, Lot Code, Quantity, etc.</i> )?				
At the end of each production run, do you reconcile the input Kg with output Kg?				
At the end of each production run, do you reconcile the output quantity with inventory quantity in staging / storage?				
Do you record weight / quantity of all seconds / culls produced for each production run?				

**Continue to next page.**

**PART B - PACKER / PROCESSOR** \* *must be completed by all packing and processing operations*

<b>CURRENT TRACEABILITY SYSTEM – REVIEW</b>				
<b>Sale / Distribution of Food Products</b> <i>Note: Essential data is customer, SO#, PO#, Date, Quantity, Employees, Truck ID, and Lot # etc.</i>	<b>Yes</b>	<b>No</b>	<b>Not sure</b>	<b>N/A</b>
Is essential information recorded at the time of shipping?				
Is each pallet scanned / recorded at the time of loading?				
Do you create a bill of lading for each shipment?				
Does the bill of lading list the pallet tag number of each pallet included in the shipment?				
Do you mix Lot # and / or products on the same pallet?				
Do you use hybrid pallet tags where Lot # and / or products are mixed on same pallet?				
Do you receive and record confirmation from end destination when your shipped product has been received?				

If you are a packer / processor, you have completed the Self-Assessment. Thank you for completing the first step at improved traceability for your operation. Contact us if you have any questions.

***If you are in the livestock industry – please continue to the next page.***



## SELF-ASSESSMENT

### PART C - LIVESTOCK INDUSTRY - DAIRY PRODUCER<sup>1</sup>

CURRENT TRACEABILITY SYSTEM	Yes	No	Not sure	N/A
Can you trace the complete history / movement of any animal or a group of animals back from a finished product lot number?				
Can you trace the quantity, lot #, and recipients of all animals or products derived from an animal or group of animals using an animal or group of animals as a reference?				
ANIMAL IDENTIFICATION				
Are your dairy cattle double-tagged with approved dairy tags? ( <i>NLID/ATQ</i> ) *Calves must be tagged within 7 days of birth or before the animal leaves the farm of origin, whichever occurs first.  *Any calves born on farm and destined for the beef industry may be identified with a single Radio Frequency Identification (RFID) ear tag (approved beef tag) - except for provinces that requires dual tagging.				
TAG ACTIVATION				
Do you maintain current birth records on farm? ( <i>birth date, Animal ID number</i> ) *In the 7 days following the animal's birth or at the time the animal leaves the farm of origin, whichever occurs first.				
Are you reporting animal birth information to the national traceability database within 45 days or before the animal leaves the farm of origin, whichever occurs first?				
ANIMAL MOVE IN				
For animal move-in (reception of an animal at the farm, including import): a. Do you maintain current animal move-in records on farm? ( <i>animal ID number, date of movement, premises identification number of farm of arrival and departure, license plate number</i> )				
b. Are you reporting the information to the national traceability database?  *Information must be recorded within 7 days of the event or before the animal leaves the farm, whichever occurs first				

**Continue to next page.**

## SELF-ASSESSMENT

TAG RETIREMENT	Yes	No	Not sure	N/A
For tag retirement (on-farm animal disposal or export):				
a. Do you maintain current tag retirement records on-farm?				
b. Are you reporting the event information to the national traceability database? *Information must be recorded and reported within 7 days of the event.				

<sup>1</sup>Source: Questions reproduced with permission of Dairy Farmers of Canada from the proAction® PRODUCER SELF-EVALUATION QUESTIONNAIRE, p. 6 of 'Traceability Workbook' (December 2016), (c) Dairy Farmers of Canada

### PART C - LIVESTOCK INDUSTRY - BEEF PRODUCER

CURRENT TRACEABILITY SYSTEM	Yes	No	Not sure	N/A
Can you trace the complete history / movement of any animal or a group of animals back from a finished product lot number?				
Can you trace the quantity, lot #, and recipients of all animals or products derived from an animal or group of animals using an animal or group of animals as a reference?				

Traceability Practices (as required Federally: Health of Animals Regulation)	Tick which applies			
	Met	Needs work	Not sure	N/A
All cattle are tagged with an approved RFID tag prior to moving from their current location or leaving their farm of origin, including any movement to Crown range, community pastures, fairs, or veterinary clinics.				
For farms of origin, age verification is the association of animal birth date data with an Animal Identification Number (Single Tag or Tag Group) and is then loaded onto the national database.				
Proper placement of tags in the correct location of the ear is done for maximizing tag retention and to ensure accurate and efficient RFID reading.				
Proper insertion and secure closing of the tag is done				
Care is taken to avoid wrestling with the animal and repeatedly squeezing the tag applicator to avoid damage of the electronic components with the tag.				
Before you tag each animal, the RFID tag number is recorded, along with the animal's management ear tag number.				

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<p>If an RFID tag is lost:</p> <ul style="list-style-type: none"> <li>- re-tag and cross-reference with original RFID tag</li> <li>- ensure the birth date linked to the animal's original RFID tag is brought forward to its new tag</li> </ul>				
<p>RFID tag is read manually when:</p> <ul style="list-style-type: none"> <li>- tag replacement makes electronic reading difficult</li> <li>- RFID tag is no longer functional</li> </ul> <p>If and approved RFID tag is not functioning, another tag is applied to the animal and cross-referenced in the CLTS to the original number. The original, defective tag is <u>not</u> removed.</p>				
<p>Animal health is regularly monitored and any deaths / euthanized cattle are recorded.</p>				
<p>Cattle, people and equipment entering / returning to the operation are managed / handled in a manner to avoid them introducing disease / pathogens to cattle already on site.</p>				

You have completed the Self-Assessment. Thank you for completing the first step at improved traceability for your operation. Contact us if you have any questions.